

**BUDGET
OF THE ORGANIZATION
2011 – 2012 – 2013**

APPROVED BY THE
THIRTY-SEVENTH SESSION OF THE ASSEMBLY

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BUDGET OF THE ORGANIZATION FOR 2011, 2012 AND 2013

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**COUNCIL'S MESSAGE
ON THE BUDGET OF THE ORGANIZATION FOR
2011-2012-2013**

INTRODUCTION

1. Article 61 of the *Convention on International Civil Aviation* requires that “The Council submit to the Assembly annual budgets, annual statements of accounts and estimates of all receipts and expenditures”. The Council hereby submits its Budget for the financial years 2011, 2012, and 2013.

2. ICAO has a continuing mandate arising from the Convention, its Annexes and Assembly Resolutions to ensure the safe, secure and environmentally sound development of international aviation. In addition it faces ever changing challenges which reflect global political, economic and technological changes over which the Organization has little direct influence: it must therefore be sufficiently agile to react to events in a way which satisfies the expectations and aspirations of the Member States.

3. In order to provide a sharper vision for the activity of the Organization, the Council has redefined the Strategic Objectives: 1) *Safety*; 2) *Security*; and 3) *Environmental Protection and Sustainable Development of Air Transport*. These provide the overarching framework for the definition of Programmes and Projects in order to ensure that the Organization remains focussed and is able to deliver clear and effective results to the States. The Organization must also have a rationally organized, efficient and well managed staff to provide all the functions necessary for the smooth running of an international organization. Last, and not least, it is essential that the Council, as governing body, and the Secretariat work together efficiently and effectively. This budget has been developed to address all three of these elements and to establish a sound foundation for the advancement of ICAO's objectives over the next three years.

BUDGET DISCUSSIONS

4. This Budget proposal was based on the Charter Letter sent by the President of the Council on behalf of the Council to the Secretary General on 27 March 2009; the draft Business Plan for 2011-2012-2013 prepared by the Secretariat; and, the recognition that aviation safety is the Organization's first priority. The draft Budget was first presented to the 188th Session of the Council in September 2009 and covers the resources of the whole Organization, thus includes the assessed amounts for the Regular Programme Budget, indicative planning figures for the Technical Co-operation Programme (and the Administrative and Operational Services Cost Fund), and the financial forecast of the Ancillary Revenue Generating Fund.

5. On 19 January 2010 the Secretary General submitted to Council the Funding Options for the Draft Budget of the Organization for 2011-2012-2013. These options suggested a possible range between: zero nominal growth of CAD245.5 million; and, a level which accounted for all Charter Letter elements and uplifted the current triennium spend in real terms of CAD293.9 million. The Council reviewed these options through its Finance Committee in the 189th Session, taking time to understand the basis for the Secretary General's proposals and requested a revised budget that took into consideration its priorities for action, recommendations and principles.

6. For the 190th Session, the Secretary General submitted three new budget proposals which were characterised as: a) *Net Reduction* Budget proposal of CAD256.2 million; b) *No Growth* Budget proposal of CAD273.1 million; and c) *Modest Growth* Budget proposal of CAD295.9 million. Council, again through the Finance Committee, conducted an in-depth review of these proposals.

COUNCIL'S RECOMMENDATION TO THE ASSEMBLY

7. At its 11th meeting on 14 June 2010 the Council recognized that the lower proposals (CAD256.2 million) would mean substantial programme cuts and enforced redundancies; the central proposal (CAD273.1 million) would deliver most of the programme priorities; and the higher proposal (CAD295.9 million) was unrealistic in the

current global economic and financial environment. The Council therefore agreed that the Budget for the triennium should be set at CAD273.1 million and profiled as CAD87.6 million in 2011, CAD90.1million in 2012 and CAD95.4 million in 2013. (For comparison, the Budget for 2010 was CAD85.5m – see A36-29). Council also decided that the programmes and the projects within them, as set out in this document, should be substantively as described, recognizing that there would need to be some degree of flexibility to deal with changed circumstances or newly emerging developments. In this regard it agreed that the recommendations from the High Level Safety Conference should be funded from the Regular Programme Budget (supplemented by voluntary contributions if necessary) with savings being found from increased efficiencies.

8. The Council also agreed that there were some important measures relating to good governance of the Organization which needed to be addressed. Many of these, it believed, would lead to significant financial savings in the medium to longer term allowing scarce resources to be directed where they were most needed. The Recommendations from the Finance Committee, and approved by the Council, are described in more detail in Annex 5. Council therefore invites the Assembly to endorse them as being essential to secure the long term effectiveness of ICAO.

9. The key Recommendations fell into four categories:

a) Those related to *financial and structural management* of the Organization where the Council recommended that the Secretary General develop a reporting tool to ensure that spending was correctly applied to the budget line items as agreed by Council. Development of the Organization's three-year business plan with cooperation between the Secretariat and Council would aid transparency. Full implementation of the relevant module of Agresso should provide the necessary controls. There should be greater focus on direct delivery by frontline professional staff and hence an increase in the ratio of P to G staff over the triennium within a constant headcount. It would be essential that all posts were correctly graded, and staff performance measured and rewarded consistently across the Organization. Demographic changes would mean this could be achieved solely by natural attrition through retirements, non-renewal of contracts and other departures, and not through enforced separations at the beginning of the triennium.

b) A clear policy requiring application of *project and programme management* processes was essential. It should include associated dashboard, risk registers and independent, high-level quality control procedures to ensure independent assessment and assurance that projects would be delivered according to their agreed objectives. Benchmarking and productivity indicators would help both the Council and the Secretary General to track progress on programmes and projects, including the associated risks to delivery. Such indicators needed to be specific and comparable to ensure that their use compared activities on a consistent basis. Examples include: ratios of P to G posts overall, by Directorate, by region, and by comparison with comparable organizations; cost of ICT support, Human Resource (HR) support, other administration; and language support costs.

c) The requirements for *translation services needed a comprehensive reassessment*, while ensuring an adequate interpretation service. The priority should be on ensuring that new and revised SARPs, manuals, guidance etc. were available in all languages as soon as possible after the text had been approved, and that such translation needed to be at the highest possible standard. The Council recognized that there might need to be progressive implementation but asked that this be completed by the end of the triennium.

d) A *robust and reliable ICT service* fully aligned with the needs of the Organization was essential: Council asked the Secretary General to assess options for provision of an updated ICT service, from external sources if necessary, to ensure that ICAO had the service it needed. Significant savings would be possible from moving to a "paperless" process for distribution of documents to the governing bodies and potentially also from electronic distribution of the saleable documentation.

10. The Council also recognized that there was room for improvement in the process of governance, and to reduce the administrative costs of the Organization. There needed to be a clear distinction between provision of information and decision making, the process for the latter should be much more clearly defined. The Council committed itself to reassessing how it conducted its business including how papers were prepared, and how the Committees and the Council could work more efficiently and effectively.

11. The Council noted it was both desirable and practical to support increased voluntary funding from States and other sources. Such funds could be used to assist States or Regions in urgent need or to fund newly identified programmes which might occur during the triennium and there needed to be an established procedure for accounting for these purposes. The Council therefore recommended that the Secretary General propose a comprehensive funding policy for safety, security, environment and any other funds which might be needed, with a consistent set of principles regarding the scope, receipt and disbursement of funds, and a sound, light touch, governance mechanism which would fully take into account the cost of overheads provided under the Regular Programme Budget.

CONCLUSION

12. In agreeing to a budget of CAD273.1 million, the Council recognised the essential role of ICAO in providing a global regulatory framework in which international aviation could operate and that promoted safe, secure and environmentally responsible growth. The Council also recognised that the Organization needed to be able to respond to changing global needs in ways which were imaginative, flexible and relevant, and so made important recommendations on the governance process. Taken together, the Council firmly believes that through the course of the triennium the Organization will be able to provide the strategic vision and oversight necessary for the sustainable development of international civil aviation.

Resolution 64/1:

Budgets for 2011, 2012 and 2013

A. *The Assembly*, with respect to the Budget 2011-2012-2013, *notes* that:

1. in accordance with Article 61 of the Convention, the Council has submitted and the Assembly has considered annual budget estimates [indicative estimates for the Administrative and Operational Services Costs of the Technical Co-operation Programme (AOSC)] for each of the financial years 2011, 2012 and 2013;

2. in accordance with Articles 49 (e) and 61 of the Convention, the Assembly approves the budgets of the Organization.

B. *The Assembly*, with respect to the **Technical Co-operation Programme**:

Recognizing that the AOSC are mainly financed by fees from implementation of projects assigned to ICAO for execution by external funding sources such as Governments, the United Nations Development Programme and other sources;

Recognizing that the Technical Co-operation Programme cannot be determined with a high degree of precision until such time as the Governments of donor and recipient countries have decided on the relevant projects;

Recognizing that due to the situation cited above, the annual AOSC net budget figures shown below in Canadian dollars (CAD) for the years 2011, 2012 and 2013 represent indicative budget estimates only:

	2011	2012	2013
Estimated Expenditures	10 700 000	11 000 000	11 600 000

Recognizing that technical co-operation is an important means of fostering the development and safety of civil aviation;

Recognizing the circumstances facing the Technical Co-operation Programme of the Organization and the necessity to take continuing measures; and

Recognizing that in the event that the AOSC operation for any given financial year ends in a financial deficit, such deficit should first be met from the accumulated surplus of the AOSC Fund and a call for support from the Regular Programme Budget would be the last resort.

Resolves that the Indicative Budget Estimates of the Administrative and Operational Services Costs of the Technical Co-operation Programme are hereby approved on the understanding that subsequent adjustments to the Indicative Budget Estimates shall be made within the framework of the annual AOSC Budget Estimates in accordance with the provisions of Article IX of the Financial Regulations.

C. The Assembly, with respect to the Regular Programme:

Resolves that:

1. separately for the financial years 2011, 2012 and 2013, the following amounts in Canadian dollars, requiring an outlay of funds, are hereby authorized for expenditure for the Regular Programme in accordance with the Financial Regulations, and subject to the provisions of this Resolution:

Programme	2011	2012	2013	Total
SAFETY	22,815,000	23,437,000	24,913,000	71,165,000
SECURITY	13,403,000	13,771,000	13,866,000	41,040,000
ENVIRONMENTAL PROTECTION AND SUSTAINABLE DEVELOPMENT OF AIR TRANSPORT	11,431,000	11,843,000	12,311,000	35,585,000
Programme Support	19,748,000	20,714,000	22,143,000	62,605,000
Management & Administration	13,265,000	13,475,000	14,080,000	40,820,000
Management & Administration - Governing Bodies	6,932,000	7,004,000	7,951,000	21,887,000
TOTAL AUTHORIZED APPROPRIATION	87,594,000	90,244,000	95,264,000	273,102,000
Operational	86,555,000	89,554,000	94,681,000	270,790,000
Capital	1,039,000	690,000	583,000	2,312,000

2. the separate annual Total Authorized Appropriation be financed as follows in Canadian dollars, in accordance with the Financial Regulations:

	2011	2012	2013	Total
a) Assessments on States	82,024,000	84,256,000	88,727,000	255,007,000
b) Transfer from ARGF Surplus	4,370,000	4,688,000	5,082,000	14,140,000
c) Miscellaneous Income	1,200,000	1,300,000	1,455,000	3,955,000
TOTAL:	87,594,000	90,244,000	95,264,000	273,102,000

3. separately for the financial years 2011, 2012 and 2013, the following additional amounts in Canadian dollars, requiring an outlay of funds, are hereby authorized for expenditure for the Regular Programme in accordance with the Financial Regulations, and subject to the provisions of this Resolution to be financed without increasing Assessment of States through Reimbursement from AOSC fund of \$5,311,500 and by the Transfer from Incentive Scheme for Long-Outstanding Arrears Account of \$2,202,200:

Programme	2011	2012	2013	Total
SAFETY	119,000	977,000	888,000	1,984,000
SECURITY	71,000	73,000	76,000	220,000
ENVIRONMENTAL PROTECTION AND SUSTAINABLE DEVELOPMENT OF AIR TRANSPORT	48,000	49,000	51,000	148,000
Programme Support	387,000	399,000	425,000	1,211,000
Management & Administration	1,262,000	1,295,000	1,349,000	3,906,000
Management & Administration - Governing Bodies	14,000	15,000	16,000	45,000
TOTAL AUTHORIZED APPROPRIATION	1,901,000	2,808,000	2,805,000	7,514,000

INTRODUCTION

1. This budget document includes:

- i) the Regular Programme Budget for implementation of the programmes and activities of the Organization mandated under the Convention on International Civil Aviation;
- ii) the Administrative and Operational Services Cost (AOSC) Fund's Indicative Budget for the management of the Technical Co-operation Programme (TCP); and
- iii) the financial forecast of the Ancillary Revenue Generating Fund (ARGF) for all the revenue generating and cost recovery activities of the Organization.

2. The Regular Programme Budget sets forth the proposed work programme and activities that will be implemented by the Secretariat of the Organization, with the participation of representatives and experts of Contracting States for the years 2011 to 2013, and the estimated costs of implementing the programmes and activities.

3. The Council establishes the work programme, which covers all areas of civil aviation, undertaken by the Organization following the framework established in the Business Plan, and taking into account a variety of factors, including:

- i) the statutory responsibilities and obligations enshrined in the Convention on International Civil Aviation;
- ii) resolutions and decisions of the Assembly and the Council;
- iii) recommendations of standing and other bodies such as the Air Navigation Commission;
- iv) expressions of priority expressed by Contracting States in various forums; and
- v) conclusions and recommendations of major conferences and meetings convened by the Organization (such as the High Level Safety Conference), other United Nations organizations and other international bodies concerned with civil aviation and related matters.

4. The principal means used by ICAO to accomplish its regular work objectives are (i) meetings of the Assembly, the permanent bodies, conferences, divisional meetings, regional meetings, panels and study groups; and (ii) issuance of documentation, including publications. These two principal means are reciprocal and mutually supporting, in that virtually all meetings are conducted on the basis of documentation prepared in advance by the Secretariat (and by States), and the results and decisions of the meetings are communicated to States by publications. Both, meetings within the regions (such as seminars and workshops) and publications (such as technical manuals and circulars), are utilized for implementation purposes and in provision of guidance and assistance to States. In addition, correspondence with and official missions to States are also used to accomplish the objectives within the air navigation and air transport fields.

5. The Programme Budget for the period 2011 to 2013 was based on the Business Plan and set at CAD273.1 million by focussing resources on delivery of core programmes and increasing operational efficiency. This amount represents an 11.2 per cent increase from the previous triennium; yet when viewed against the total funding available in the 2008-2010 triennium (which included voluntary funds), the budget proposal is one of no real growth.

6. Concurrently with the development of this budget proposal, the High Level Safety Conference (HLSC) was taking place. Pending Council review, the recommendations made by HLSC were not integrated into the budget proposal. The HLSC made a total of 48 recommendations, of which:

- 5 will be implemented in 2010;
- 14 already exist within the budget for the next triennium;
- 1 does not need resources; and
- 28 require supplementary funding of CAD3.6 million.

7. The Secretariat is committed to funding all of the recommendations of the HLSC partly through savings in the budget and partly through voluntary funding so as not to increase the assessment of States.

8. The Secretariat takes note that except for the elimination of the limitation principle, ICAO's methodology and scales of assessment have remained unchanged since 1975. Consequently, a working group consisting of Member States and the Secretariat has been constituted to review the methodology used in calculating the scales of assessment as well as the scales of assessment themselves to take effect from the next ordinary session of the Assembly.

9. The AOSC and ARGF Budgets for the period 2011 to 2013 are found in the **Extra-budgetary Funds** section of this document.

STRATEGIC FRAMEWORK AND PROGRAMME STRUCTURE

10. Given the challenges facing the aviation sector, Council decided that ICAO needed to further focus its activities on tasks that provide the greatest value. By reducing the number of Strategic Objectives from six to three and the related tasks, the vision for the Organization is sharpened. These three Strategic Objectives are: (1) *Safety*, (2) *Security* and (3) *Environmental Protection and Sustainable Development of Air Transport*. These objectives conform exactly to the new vision statement. *Environmental Protection and Sustainable Development of Air Transport* cover aspects related to environment, economics and efficiency.

11. The Regular Programme comprises thirty-seven (37) Programmes. Each Programme falls under one of the three Strategic Objectives, mandated by an Assembly Resolution or a Council decision, and is the responsibility of either the Air Navigation Bureau or the Air Transport Bureau.

12. Each Programme is designed with specific objectives to achieve certain results. In addition to Objectives, the results that are expected to be achieved, and the detailed projects/activities are outlined in the **Programme Narratives** section of this document.

13. The resources required are presented at the Programme level, and the cost centres, which are based on the Organizational structure, will be aligned with the Programme. **Annex 1** provides a mapping of the programmes vis-à-vis the relevant organizational unit responsible. In so doing, the Organization has the ability to manage the budget by: (i) cost center; (ii) programme; and (iii) Strategic Objective. This structure fixes the deficiency in budget management for the 2008 to 2010 budget triennium.

14. The seven Regional Offices support most of the Programmes and perform their own programme support and administration functions. The present regional structure, comprises the following regions which are being served by headquarters and the corresponding regional offices:

- i) Africa-Indian Ocean (AFI) Region – Western and Central African (WACAF) in Dakar, Senegal
- ii) Africa-Indian Ocean (AFI) Region – Eastern and Southern African (ESAF) Office in Nairobi, Kenya
- iii) Asia and Pacific (ASIA/PAC) Region – Asia and Pacific (APAC) Office in Bangkok, Thailand
- iv) Caribbean and South American (CAR/SAM) Region – South American (SAM) Office in Lima, Peru
- v) European (EUR) and North Atlantic (NAT) Regions – European and North Atlantic (EUR/NAT) Office in Paris, France
- vi) Middle East (MID) Region – Middle East (MID) Office in Cairo, Egypt
- vii) North American (NAM) Region – North American, Central American and Caribbean (NACC) Office in Mexico City, Mexico

15. The diagram on page 17 includes the Organization's vision and mission statements; an overview of the Strategic Objectives and its corresponding Programmes; and the functional entities under the Supporting Implementation Strategies.

RESULTS-BASED BUDGET

16. This budget continues to be established in Canadian dollars and prepared in a results-based framework wherein the budget responds to the question “what are resources for” rather than “where are resources located”.

17. “Programme Support” is defined as expenditure where the target audience for a staff member’s or work unit’s output is *external* whereas “Management Administration” is expenditure where the target audience for a staff member’s or work unit’s output is *internal*.

18. Reflecting the decision of Council, *Rule of Law* now forms part of Programme Support. Language Services (translation) and Information and Communication Technology (ICT) expenditures, to the extent that they support Programmes, have been moved out of Management and Administration and into Programme Support. A new category of support - “Management and Administration – Governing Bodies” - has been created to better reflect the cost needed to support the meetings of the Assembly, Council and its subsidiary bodies.

19. For each of the 37 programmes falling under Programme and each of the functional entities falling under either Programme Support, Management and Administration or Management and Administration – Governing Bodies, the subsequent narrative sections provide the following information:

- **Objective/Description:** a brief description of the Programme/supporting function ;
- **Expected Results:** lists the tangible results to be achieved and track the effectiveness of work; concrete deliverables that stem directly from the planned programme or supporting entity;
- **Projects/Activities:** activity(ies) resulting in a value-added and/or specific deliverable(s) which basically provide the purpose(s) of what the resources are for;
- **Resources:** funds required for the triennium in support of the programme or support function.

FRAMEWORK OF THE 2011-2012-2013 BUDGET

20. This budget has been developed keeping in mind the set of recommendations endorsed by the Council reflecting the strategy for the 2011 to 2013 Budget, and consistent with the direction provided in the Charter Letter from the President of the Council on behalf of the Council to the Secretary General dated 27 March 2009.

21. With respect to its content, the budget includes the following, in response to the Charter Letter:

- Increased focus on Security achieved through the full integration under the Regular Budget of the remaining proportion of the Aviation Security Plan of Action (AVSEC) (CAD5.7 million);
- Requirements in Environment and Language currently funded by extra-budgetary and/or voluntary funds (CAD8.6 million);
- Communications strategy (CAD1.5 million);
- Organizational risk management programme and strengthening of evaluation and audit (CAD1.3 million);
- Introduction of Continuous Monitoring Approach; and
- Integration of Regional Offices (ROs) with Headquarters (HQ) through a set of common programmes agreed jointly.

22. The Secretariat incorporated the following measures to meet the recommendations of the Council:

- The establishment of a vacancy rate of 4.5 per cent for all posts which reduces the ability to hire temporary assistance and consultants (CAD 9.0 million);
- Strengthening of the seven Regional Offices, in particular, the Nairobi and Dakar Office (CAD 0.8 million);
- Absorption of ACIP starting from 2012 (CAD1.9 million);
- Ensuring that ARGF is managed on a truly commercial basis and staffed accordingly;

- Electronic Documentation and Record Management System (EDRMS) and Computer Assisted Translation Software (CATS) (CAD1.3 million);
- A gradual “paperless” environment (CAD1.1 million); and
- Continuing economies in travel through amendments to existing policies.

23. Voluntary contributions into the SAFE, Security, and Environment funds could be used to provide focused support for specific unbudgeted activities.

24. **Table 1** shows the breakdown of resources by Programme. Of total resources in support of Business Plan activities of CAD273.1 million, 77 per cent is Programme-related (“Programme” and “Programme Support”) whereas “Management and Administration (MAA)” and “Management and Administration – Governing Bodies” represent 15 per cent and 8 per cent, respectively.

25. Within “Programme”, the three Strategic Objectives account for a total combined resources of CAD147.8 million or 54 per cent of the total budget available for Business Plan activities. “Programme Support” accounts for CAD62.6 million or 23 per cent of the total budget available.

26. As mentioned in paragraph 14, the Regional Offices support most of the Programmes. Thus, resources for the Regional Offices will be provided and managed by each corresponding office. An across-the-board percentage was applied against the resources to determine its corresponding share on the three Strategic Objectives: 50 per cent on *Safety*, 30 per cent on *Security* and 20 per cent on *Environmental Protection and Sustainable Development of Air Transport*. These percentages, based on management’s best (average) estimates on how much time is being spent for each Strategic Objective, is a simplified yet more efficient method of allocating Regional Office costs to the Strategic Objectives. The narrative on the Regional Offices provides details on the expected results and resources for each office.

27. All resource requirements of the Office of the Secretary General and the Office of the President fall under “Programme Support” except for the resources required for the 2013 Assembly which has been allocated to the “MAA – Governing Bodies”.

28. Contrary to the 2008 to 2010 budgets which was the first results-based budget, the 2011 to 2013 budgets will no longer have corporate costs such as rent, reimbursement to UN bodies, contribution to joint UN activities, staff safety, etc. prorated to the Programmes. Experience indicates that by doing so, managers were not able to manage all the costs for their respective programme. Instead, these corporate costs are now part of the resources falling under the Supporting Implementation Strategies – in particular, functional entities under the Administrative Bureau. The percentage applied, based on managers’ experience and best estimates, are as follows:

Percentages applied to resources under Administrative Services			
Office/Unit	PS	MAA	MAA-GB
Administrative Services Management (D/ADB)		100%	
Assembly and Council Secretariat (ACS)			100%
Conference Services (COS)	50%	30%	20%
Human Resources (HR)		100%	
Information and Communication Technology (ICT)	60%	35%	5%
Language Services (LPB)	68%		32%
Records Management (RMS)	65%	15%	20%
Security Services (ISEC)		100%	
Web Library Management (WLM)	90%	10%	

29. Comparative data for 2008 to 2010 can be displayed at a higher level only (totals) because of the fact that there are now three Strategic Objectives (instead of six) and there is no direct link between the 37 Programmes and the Strategic Results in the 2008 to 2010 Budget. In addition, there are differences in the treatment of costs for the 2011-2012-2013 Budget mentioned in paragraphs 26 and 28. Therefore, we cannot compare costs for the Strategic Objectives in 2008-2010 with those of 2011-2013.

TABLE 1: BUDGET 2011-2013 SUMMARY BY PROGRAMMES							
(in thousands of CAD)							
Strategic Objective	Programme No.	Programme Title	2011	2012	2013	TOTAL	% of Total
PROGRAMME	1	ATM - Airspace Optimization	634	651	684	1,969	
	2	Performance-Based Navigation (PBN)	593	611	644	1,848	
	3	Safety Management Implementation	1,650	1,616	1,698	4,964	
	4	Continuing Airworthiness	558	582	613	1,753	
	5	ATM - Global Management	260	266	275	801	
	6	Regional safety-related activities	424	436	458	1,317	
	7	Safety - Revenue-generating (self-funding) activities	2,453	2,519	2,649	7,620	
	8	Regional Coordination of safety-related activities	637	662	692	1,991	
	9	Aerodrome Safety	541	558	584	1,683	
	10	Accident Investigation	415	429	451	1,295	
	11	Safety Audit	3,670	3,861	4,304	11,835	
	12	Civil/Military Cooperation	134	137	142	412	
	13	ATM SARPs	15	15	15	45	
	14	Regional Safety Oversight Organizations	671	692	728	2,091	
	15	Qualified Aviation Professionals	36	38	40	114	
	16	Critical Safety Risk Response	309	231	243	783	
	SAFETY (Headquarters) Sub-Total:		12,998	13,305	14,219	40,522	15%
	18	Security	1,543	1,610	1,671	4,824	
	19	Regional Coordination of Security-Related Activities	382	397	415	1,195	
	20	Security Audit	3,457	3,548	3,345	10,349	
	21	Facilitation	301	288	302	891	
	22	ISD-Security	1,500	1,553	1,486	4,539	
	23	MRTD and Identity Management	330	338	353	1,021	
	SECURITY (Headquarters) Sub-Total:		7,513	7,734	7,571	22,818	8%
	24	Environment Outreach	1,086	1,121	1,176	3,382	
	25	Environment - Local Air Quality	168	173	183	524	
	26	Environment - Climate Change	1,271	1,308	1,379	3,959	
	27	Environment - Noise	226	232	245	703	
	28	Data Link	470	487	513	1,470	
	29	Meteorology	447	459	480	1,386	
	30	CNS/Frequency Spectrum	778	799	840	2,417	
	31	Digital aeronautical information	980	1,009	1,058	3,048	
	32	Sustainability - Revenue-generating (self-funding) activities	353	622	659	1,634	
	33	Enhanced Transparency of Aviation Policies	235	241	253	728	
	34	Statistics	603	363	380	1,346	
	35	Sustainable Air Transport	371	450	390	1,211	
	36	Airport/ANS Cost-Effectiveness	261	289	282	832	
	37	Regional Coordination of Sustainability-related Activities	255	265	277	796	
	ENV. PROT. & SUST. DEV. OF AIR TRANS. (Headquarters) Sub-Total:		7,504	7,818	8,114	23,436	9%
	SAFETY		9,817	10,132	10,694	30,644	11%
	SECURITY		5,890	6,037	6,295	18,222	7%
	ENV. PROTECTION& SUSTAINABLE DEV. OF AIR TRANSPORT		3,927	4,025	4,196	12,148	4%
	PROGRAMME (Regional Offices) Sub-Total:		19,635	20,194	21,185	61,014	
	SUB-TOTAL PROGRAMMES		47,650	49,052	51,089	147,791	54%
PROGRAMME SUPPORT	PS-COS	Conference Services	2,488	2,395	2,452	7,336	
	PS-ICT	Information Technology	2,811	2,850	2,862	8,522	
	PS-LEB	Legal Services and External Relations	1,956	2,048	2,011	6,015	
	PS-LPB	Language Services	8,657	8,889	9,133	26,679	
	PS-OSG	Executive Management	1,660	1,700	1,759	5,118	
	PS-RGA	Printing and Distribution Services (RGA)	1,244	1,892	3,016	6,153	
	PS-RMS	Records Management	721	721	685	2,127	
	PS-WLM	Web Library Management	211	218	226	655	
	PROGRAMME SUPPORT Sub-Total		19,748	20,714	22,143	62,604	23%

	Strategic Objective	Programme No.	Programme Title	2011	2012	2013	TOTAL	% of Total
MANAGEMENT AND ADMINISTRATION		MAA-COS	Conference Services	1,029	985	1,009	3,023	
		MAA-RCC	Regional Coordination and Communications	541	564	792	1,897	
		MAA-DADB	Administrative Services Management	1,950	1,794	1,745	5,489	
		MAA-EAO	Evaluation and Internal Audit	851	1,090	1,146	3,087	
		MAA-FIN	Budget and Financial Management	3,231	3,260	3,410	9,901	
		MAA-HR	Human Resources	3,588	3,863	4,059	11,510	
		MAA-ICT	Information Technology	1,640	1,662	1,669	4,971	
		MAA-ISEC	Security Services	247	66	67	379	
		MAA-RMS	Records Management	166	166	158	491	
		MAA-WLM	Web and Library Management	23	24	25	73	
		MANAGEMENT AND ADMINISTRATION Sub-Total		13,265	13,475	14,080	40,820	15%
		MAA GB-ACS	Assembly and Council Secretariat	481	471	470	1,422	
		MAA GB-ANB	Administrative Support to the ANC	447	464	489	1,400	
		MAA GB-COS	Conference Services	1,459	1,410	1,444	4,313	
		MAA GB-ICT	Information Technology	234	237	238	710	
		MAA GB-LPB	Language Services	4,089	4,200	4,315	12,604	
		MAA GB-OSG	Executive Management			784	784	
		MAA GB-RMS	Records Management	222	222	211	654	
		MANAGEMENT AND ADMIN. - GOVERNING BODIES Sub-Total		6,932	7,004	7,951	21,887	8%
		SUB-TOTAL PROGRAMME SUPPORT; MAA; MAA-GB		39,944	41,193	44,175	125,312	46%
		TOTAL:		87,594	90,244	95,264	273,103	100%
	Operational			86,555	89,554	94,681	270,790	
	Capital			1,039	690	583	2,312	

FUNDING OF THE 2011-2012-2013 BUDGET

30. The Budget is financed by Assessments on Contracting States, Miscellaneous Income, and Transfer from the ARGF surplus. Additional budget requirements for the next triennium, that will have no impact to the Assessments on Contracting States, are financed through Reimbursement from AOSCF and Transfer from the Incentive Scheme for Long-outstanding Arrears account. (Further details on these are found in **Annex 4**).

31. The Miscellaneous Income for 2011 to 2013 is estimated at CAD3.96 million, while the surplus forecast for ARGF is CAD14.14 million. Thus, the total resource requirement from Contracting States for the 2011 to 2013 triennium totals CAD255.0 million (Table 2 below).

32. The table below provides the comparison of the funding sources of the Regular Programme Budget between the two triennia.

TABLE 2: BUDGET 2011-13 SOURCES OF FUNDS
(in thousands of CAD)

	2008	2009	2010	Total 2008-10	2011	2012	2013	Total 2011-13	\$ incr.	% incr.
Assessments of States	74,184	74,060	79,204	227,448	82,024	84,256	88,727	255,008	27,560	12%
Transfer from ARGF Surplus	3,851	4,108	4,386	12,345	4,370	4,688	5,082	14,140	1,795	15%
Miscellaneous Income	1,916	1,917	1,917	5,750	1,200	1,300	1,455	3,955	(1,795)	-31%
	79,951	80,085	85,507	245,543	87,594	90,244	95,264	273,103	27,560	11%

33. It may be observed that Assessment of the Contracting States increased by CAD27.6 million over the two triennia. This analysis does not reveal that in the 2008 to 2010 triennium, voluntary contributions of, approximately CAD25.0 million over and above the Assessments, were made available to the Secretariat. In the current budget, these activities are integrated at the direction of the Council.

34. Transfer from the ARGF Surplus and Miscellaneous Income is used to help finance the Regular Programme Budget and thus reduces amounts assessed on Contracting States. Transfer from the ARGF Surplus represents the amount to be contributed to the Regular Programme Budget from the ARGF. Based on the 2008 and 2009 financial results, it is forecasted that that contribution to the Regular Programme Budget for 2011-2013 will be 15 per cent higher than 2008-2010.

35. Miscellaneous Income is composed mostly of investment income which includes interest income expected from the investment of funds in the Working Capital fund and any other cash available for temporary investments pending their utilization. Actual interest income earned has decreased over the years due to low interest rates thus the estimates have been reduced for 2011-2012-2013. Other miscellaneous income includes profits on sale of used Property, Plant and Equipment and Intangible Assets; profits on sale of recycled paper; and other incidental receipts.

IMPLICATIONS OF IPSAS ADOPTION ON BUDGETING PRACTICES

INTRODUCTION

36. The United Nations (UN) and the UN system Chief Executive Board (CEB) have adopted the International Public Sector Accounting Standards (IPSAS) to be implemented gradually by UN organizations. IPSAS are a set of independently developed accounting standards, which require adoption of accounting on a full accrual basis. IPSAS is being implemented at ICAO gradually during the triennium (2008-2010). This planned initiative was reported to the Assembly during its 36th regular session.

37. The approved budgets of ICAO, which include those of the Regular Programme, ARGF, and TCP (TCB-AOSC) are presented to the Assembly and, therefore, are publicly available and subject to IPSAS requirements. IPSAS requires that these budgets be compared with actual amounts in the financial statements. In order to facilitate a fair comparison of these budgets with actual results which are accounted for and presented on an accrual basis as required by IPSAS, these budgets are also prepared on an accrual basis starting from 2011. This implies that the budgets:

- a) are on the basis of service rendered and expenses incurred (accrual basis) for the Operational Budget;
- b) include separately, when applicable, a Capital Budget to cover both tangible and intangible assets, i.e. for acquisitions of equipment, vehicles, software etc. with individual items of a value of CAD5 000 or more that are foreseen in 2011 to 2013. Annex 3 provides the details of the Capital Budget for 2011 to 2013; and
- c) include separately, those non-cash expenses such as depreciation and amortization of Property Plant and Equipment (PPE), finance leases, intangible assets and any other assets that will be impaired or discounted; goods to be received without charge; profit and loss on disposal of PPE and intangibles (when significant); and the foreseen increased liability for annual leave, repatriation benefits and After Service Health Insurance (ASHI).

38. Financial Regulation 4.4 instructs that the Regular Programme Budget estimates be divided into Programme, Programme Support and Management Administration. This is the same classification used when the Budget is being submitted to the Assembly for approval. This classification scheme adopted differs from the one adopted for the financial statements. The financial statements classify items on the basis of object of expenditure (salaries, travel, etc.) and the budget classifies items by strategic objectives (safety, security, etc.). ICAO will continue to disclose budget and actual information consistent with the budget document. However, starting from the 2010 financial year, instead of the Statement of Appropriations, ICAO will produce a Status of Appropriations to be included in the annual financial statements, and to include, by way of note disclosure, an explanation of material difference between the original and final appropriations and actual amounts. Other publicly available approved budgets and reconciliations, when necessary, will also be presented in the financial statements for comparison purposes with actual amounts as required by IPSAS.

MOST SIGNIFICANT NON-CASH ITEMS INCLUDED IN BUDGETS

39. The most significant foreseen increases in expenditures for 2011 to 2013 to be accounted for in order to comply with IPSAS pertain to employee benefits for: a) After Service Health Insurance (ASHI) benefits, which are currently earned by active employees and also by qualified retired employees during the years of service; b) Annual Leave that are payable to employees before or at end-of-service; and c) Repatriation Benefits, which are payable to internationally-recruited staff members at end of service. Depreciation/amortization of tangible and intangible assets will also represent a non-cash expense.

- a) Based on an actuarial valuation performed in 2010, After Service Health Insurance (ASHI), costs are estimated during the triennium in the range of CAD5.0 to CAD5.6 million per year, annual leave costs are foreseen to increase by CAD0.5 million and repatriation benefits by CAD0.8 million annually during the triennium. With regard to the possible funding of these liabilities, the Secretariat will continue to follow the on-going development of this matter in the framework of the UN System and will report to the Council.
- b) IPSAS also requires that tangible and intangible assets of the Organization be reflected in the accounts. From an accounting point of view, this means asset acquisitions (tangible or intangible) are no longer treated as expenses in the accounts. From a budget perspective, funds are still required to purchase an asset, even if the expense is spread over several years in the financial statements (a process known as Depreciation). For 2011 to 2013, expenses will include depreciation on property, plant and equipment, finance leases and intangible assets. It is estimated that the amount of

depreciation/amortization will be in the range of CAD1.3 million for the triennium ¹. Depreciation/amortization does not require funding since the items capitalized, on which depreciation/amortization is calculated, were funded at the time of purchase.

40. The above-mentioned non-cash expenses, not requiring funding under the 2011 to 2013 Budgets are herewith presented to the Assembly as additional estimates to the prepared budgets for its information and consideration.

¹ Figure includes depreciation of all ICAO-owned assets regardless of funding source.

ICAO STRATEGIC FRAMEWORK

VISION : A global air transport system consistently and uniformly operating at peak efficiency, providing optimum safety, security and sustainability.

MISSION : As the global forum for cooperation among its Member States and with the world aviation community, ICAO sets standards and recommended practices for the safe and orderly development of international civil aviation, develops procedures, guidance material and legal instruments to facilitate and harmonize their implementation worldwide, and supports the overall growth of a robust and sustainable air transport system.

STRATEGIC OBJECTIVE SAFETY

- 1 - ATM - Airspace Optimization
- 2 - Performance-Based Navigation
- 3 - Safety Management Implementation
- 4 - Continuing Airworthiness
- 5 - ATM - Global Management
- 6 - Regional Safety-related Activities
- 7 - Safety - Revenue Generating (self-funding) Activities
- 8 - Regional Coordination of Safety-related Activities
- 9 - Aerodrome Safety
- 10-Accident Investigation
- 11-Safety Audit
- 12-Civil/Military Cooperation
- 13-ATM SARPs
- 14-Regional Safety Oversight Organizations
- 15-Qualified Aviation Professionals
- 16-Critical Safety Risk Response
- 17-AFI Comprehensive Implementation Programme

STRATEGIC OBJECTIVE SECURITY

- 18-Security
- 19-Regional Coordination of Security-related Activities
- 20-Security Audit
- 21-Facilitation
- 22-ISD-Security
- 23-MRTD and Identity Management

STRATEGIC OBJECTIVE ENVIRONMENTAL PROTECTION AND SUSTAINABLE DEVELOPMENT OF AIR TRANSPORT

- 24-Environment Outreach
- 25-Environment - Local Air Quality
- 26-Environment - Climate Change
- 27-Environment – Noise
- 28-Data Link
- 29-Meteorology
- 30-CNS/Frequency Spectrum
- 31-Digital Aeronautical Information
- 32-Sustainability - Revenue Generating (self-funding) Activities
- 33-Enhanced Transparency of Aviation Policies
- 34-Statistics
- 35-Sustainable Air Transport
- 36-Airport/ANS Cost-Effectiveness
- 37-Regional Coordination of Sustainability-related Activities

SUPPORTING IMPLEMENTATION STRATEGIES

PROGRAMME SUPPORT

- Conference Services
- Information Technology
- Legal Services and External Relations
- Language Services
- Executive Management
- Printing and Distribution
- Records Management
- Web and Library Management

MANAGEMENT AND ADMINISTRATION

- Conference Services
- Regional Coordination and Communications
- Administrative Services
- Evaluation and Internal Audit
- Budget and Financial Management
- Human Resources
- Information Technology
- Security Services
- Records Management
- Web and Library Management

MANAGEMENT AND ADMINISTRATION-GOVERNING BODIES

- Assembly and Council Secretariat
- Administrative Support to the ANC
- Conference Services
- Information Technology
- Language Services
- Executive Management
- Records Management

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PROGRAMME NARRATIVES

BY

STRATEGIC OBJECTIVE

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STRATEGIC OBJECTIVE A: Safety

Programme No. 1 ATM - Airspace Optimization

Objective: *Develop reduced Aircraft to Aircraft Separation Safety Rules to optimize global airspace and reduce emissions/greenhouse gases*

- Expected Result:**
- Reduction in aircraft to aircraft separation minima in all airspace
 - PANS-ATM – 2012; Annex 10 – 2013
 - Harmonized implementation of new surveillance techniques including ADS-B
 - Annex 10 – 2012; Guidance material on flight testing and safety assessment – 2011
 - Improved wake turbulence separation criteria
 - PANS-ATM – 2012
 - Optimized ATS route structures in terminal and en-route airspace
 - Three ATS route network development meetings - 2013

Projects/Activities:

- | | |
|---|--|
| 1. Harmonized use and exchange of RVSM monitoring data among RMAs. | 2. Introduction of 2.5 NM in-trail separation on final up to 20 miles from runway end. |
| 3. Introduction of MLAT & ADS-B technologies for 3 NM separation minima in use. | 4. Introduction of reduced distance-based longitudinal separation minimum in NAT. |
| 5. Introduction of GNSS distance-based longitudinal separation in oceanic airspace. | 6. Explore reduced oceanic separation using ADS-B (airborne surveillance application). |
| 7. Improved wake turbulence separation criteria to support conflict management. | 8. Reply to consultations made by States, Regional Offices, international organizations or other external/internal sources related to ATM matters. |
| 9. Provide Secretariat support to high-level meetings on the environment. | 10. Implement RVSM in Eurasia (Russian Federation, Mongolia and other States). |
| 11. Introduce the use of Flight and Flow Information for a Collaborative Environment. | |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
634	651	684	1,969

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 2 Performance-based Navigation (PBN)

Objective: *Develop SARPs/Guidance Material in partnership with Industry to reduce approach and landing accident rates, optimize global airspace and reduce emissions/greenhouse gases*

- Expected Result:**
- Global implementation of PBN
 - PANS-OPS – 2012; Annex 4 – 2011
 - Global implementation of vertically guided approaches
 - PANS-OPS – 2012
 - Introduction of the new ICAO flight plan to maximize aircraft capabilities
 - PANS-ATM – 2012
 - More efficient terminal airspace operations
 - PANS-ATM and guidance material for terminal operations - 2011

Projects/Activities:

- | | |
|--|---|
| 1. Development of Flight Procedure, NAV database and charting requirements (IFPP). | 2. Development and maintenance of PBN navigation specifications (PBN SG). |
| 3. Development of new approach classification scheme (PBNSG). | 4. Coordination and support of PBN regional planning and implementation activities. |
| 5. Education in PBN (management, airspace, Continuous Descent Operations (CDO), operations approval, flight procedures). | 6. Global PBN taskforce (promotion, Go-teams). |
| 7. Establishment and support of regional Flight Procedure Offices. | 8. Efficiency measurement of PBN implementation initiatives. |
| 9. Monitor status of PBN implementation. | |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
593	611	644	1,848

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 3 Safety Management Implementation

Objective: *Develop Programmes, SARPs/Guidance Material to support implementation of States' safety programmes which move from reactive to proactive action on a global basis; provide training for regional and State entities*

- Expected Result:**
- Harmonized and global implementation of safety management (extensive training courses)
 - Methodology for safety planning and follow-up developed and implemented in all ICAO regions
 - Establishment of Regional Aviation Safety Groups (RASGs) – 2011, Global Aviation Safety Plan (GASP) workshops
 - Improved safety data collection, availability and analysis
 - Organized workshops - 2011

Projects/Activities:

- | | |
|---|---|
| 1. Implementation of the State Safety Programme (SSP) and Safety Management Systems (SMS). | 2. Introduction of an ICAO Internal Safety Management Process (ISMP). |
| 3. Analyse data to report to ANC in terms of agreed HLIs. | 4. Revise GASP and Roadmap. |
| 5. GASP and Roadmap implementation - Performance framework. | 6. Methodology for safety planning and follow-up developed and implemented in all ICAO Regions. |
| 7. Organize workshops on the importance of safety data collection and analysis to sensitize African States. | 8. Development of impact assessments for new SARPs and PANS. |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
1,650	1,616	1,698	4,964

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 4 Continuing Airworthiness

Objective: *Develop SARPs that support States in regulating the maintenance of aircraft thereby reducing the likelihood of aviation accidents*

- Expected Result:**
- Strengthen continuous airworthiness capabilities within States – and harmonize the use of airworthiness terminology and restructure Annex 8
 - Annexes 6 and 8 – 2011 (AIRP, workshops)
 - Phase out the use of halon as a fire extinguishing agent on civil aircraft
 - Annexes 6 and 8 – 2012; Guidance material – 2011
 - Maintain international register of air operator certificates (AOCs)
 - First version - 2011

Projects/Activities:

- | | |
|--|--|
| 1. Harmonize the use of airworthiness terminology and restructure Annex 8. | 2. Phase out the use of Halon as fire extinguishing agents on civil aircraft. |
| 3. Update guidance material on airworthiness issues to make it more readable to those States with limited continuing airworthiness capability. | 4. Update Annex 8 to reflect operational realities. |
| 5. Maintain ICAO international aircraft information system. | 6. Reply to consultations made by States, Regional Offices, international organizations or other external/internal sources related to airworthiness matters. |
7. Deal with States' complaints and disputes related to airworthiness issues. Coordinate appropriate responses/positions with other Bureaux, as needed and brief Pres/RK.

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
558	582	613	1,753

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 5 ATM – Global Management

Objective: *Enable the real-time global management of air navigation through the development and rollout of digital Regional Air Navigation Plan (eANP) and other tools including the Electronic Filing of Differences (EFOD)*

Expected Result:

- All ANPs available in digital format
 - CD-ROM version (2011)
 - Online GIS based system (2012)
- Maintain electronic system for the notification and publication of difference (EFOD)
 - EFOD fully operational - 2013

Projects/Activities:

- | | |
|---|--|
| 1. Develop a set of Safety Tools for States to manage SARP development and compliance, including electronic filing of differences and producing supplements to Annexes on demand. | 2. Development of a suite of electronic tools to support States and PIRGs in air navigation planning. |
| 3. Develop a set of safety tools for States to collect and share data pertinent to aircraft habitually involved in international aviation. | 4. Support implementation of the Global Air Navigation Plan (GANP) – Performance framework for air navigation systems. |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
260	266	275	801

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

- Programme No. 6** Regional Safety-related activities
- Objective:** *Technical activities (Flight Safety, Air Traffic Management, Aerodromes, Communication/Navigation and Surveillance and Meteorology Staff)*
- Expected Result:**
- Strengthening the regional safety work programmes
 - Seminars and workshops on technical issues in all regions
 - Technical support to regional and sub-regional groups

Projects/Activities:

- | | |
|--|---|
| 1. Improve requirements and guidance material for pandemic preparedness. | 2. States implement pandemic preparedness plans. |
| 3. Planning and training in contingency procedures in pandemic and public health for ANSP and aerodrome operators. | 4. Actions taken to expand the participation in the Cooperative Arrangement for the Prevention of Spread of Communicable Disease through Air Travel (CAPSCA). |
| 5. CAPSCA Steering Committee meeting and Regional Aviation Medicine Team meeting annually in each CAPSCA region. | 6. Enhanced search and rescue capability. |
| 7. Provide technical support to the COSCAPs and the ACIP programme. | |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
424	436	458	1,317

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 7 Safety – Revenue-Generating (Self-Funding) activities

Objective: *Intellectual property, reinvestment of revenue generated through air navigation intellectual capital*

Expected Result: • Approximately \$12 million of revenue generation (for triennium)

Projects/Activities:

1. ICARD (5-letter name codes, route designators, route design, unique codes for facilities).	2. Publish Doc 8585 - Designators for Aircraft Operating Agencies, Aeronautical Authorities and Services every three months (Jan/Apr/Jul/Oct).
3. Publish Doc 7383 - Aeronautical Information Services Provided by States annually (June).	4. Doc 8585 – Database.
5. Serve ICAO/IMO Joint Working Group.	6. Update IAMSAR Manual.
7. Produce 2011/2012 provisions for safe transport of dangerous goods by air.	8. Produce 2013/2014 provisions for safe transport of dangerous goods by air.
9. Produce 2015/2016 provisions for safe transport of dangerous goods by air.	10. Produce 2017/2018 provisions for safe transport of dangerous goods by air.
11. Produce 2019/2020 provisions for safe transport of dangerous goods by air.	12. Develop dangerous goods training aids and disseminate information.
13. Analysis/development/implementation of a Dangerous Goods incident/accident database and subsequent ongoing analysis of the data.	14. Development of specialized dangerous goods courses (e.g. infectious and radioactive substances) and subsequent biennial delivery in the regions.
15. Analysis/development/implementation of dangerous good information (Docs 9284, Supplement to 9284, 9481 and training documents) into XML.	16. Review proposals of amendments to Doc 7030 (Regional Supplementary Procedures) and Air Navigation Plans that come into ATM section and take the necessary actions to get them approved.
17. Prepare and/or make presentations on ATM/SAR matters at Forums, Conferences, Seminars, Workshops and courses representing ICAO.	18. Review Aeronautical Information Publications to identify significant differences to Annexes 1, 6 and 8.
19. Provide administrative support for amendments to PANS-OPS as it relates to Performance-based Navigation.	20. Provide administrative support as it relates to amendments to Annex 16 and related guidance documents.
21. Reply to consultations made by States, Regional Offices, international organizations or other external/internal sources related to SAR matters.	22. Reply to consultations made by States, Regional Offices, international organizations or other external/internal sources related to dangerous goods matters.
23. Maintenance of ATM Documents.	24. Maintenance of AGA Documents.
25. Maintenance of OPS Documents.	26. Maintenance of CNS Documents.

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
2,453	2,519	2,649	7,620

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 8 Regional coordination of safety-related activities

Objective: *Effective and efficient coordination and facilitation of the safety work of the Regional Offices*

Expected Result:

- Enhanced operation of the Regional Offices, resulting in improved service delivery to States

Projects/Activities:

1. Support the resolution of ATS unsatisfactory condition reports particularly relating to upper airspace.
2. Maintain the single point of entry at Headquarters.
3. Improve efficiency and accountability of the Regional Offices.
4. Conduct seminars and workshops.

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
637	662	692	1,991

STRATEGIC OBJECTIVE A: Safety

Programme No. 9 Aerodrome Safety

Objective: *Implement Aerodrome design and operations SARPs/Guidance Material, which optimize safe aerodrome operations*

- Expected Result:**
- Optimized aerodrome design and improved aerodrome operations
 - Annex 14, Volume I – 2015
 - Updated reference codes in anticipation of new types of aircraft
 - Annex 14, Volume I – 2015; Guidance material – 2016
 - Standardized naming conventions for taxiways to help reduce runway incursions
 - Annex 14, Volume I – 2015
 - Reduction of runway excursions by effective runway surface condition assessment and friction reporting
 - SARPS on runway surface condition assessment and friction reporting – 2012
 - Implementation of advanced surface movement guidance systems to support operations in all weather conditions
 - Availability of guidance material for the certification of aerodromes - 2012

Projects/Activities:

1. Effective implementation of LED technology in visual aids for navigation.	2. Standardize marking and lighting of obstacles outside obstacle limitation surfaces.
3. Comprehensive review of Annex 14, Volume I, Chapter 3, on physical characteristics for all aerodrome reference codes.	4. Standardize naming conventions for taxiways to help reduce runway incursions.
5. Provision of runway end safety area (RESA) and associated mitigating measures.	6. Reduction of runway excursions by effective runway surface condition assessment and friction reporting.
7. Development and implementation of PANS-Aerodromes.	8. Development of visual aids for A-SMGCS and for prevention of runway incursions, including a comprehensive review of stop bar and RGL interoperability in regard to their use with other marking, lighting and sign visual cues at RHPs.
9. Reduction of runway incursions with technological solutions	10. Guidance material for the certification of aerodromes
11. Enhanced aerodrome emergency response and RFF	12. Increase operational safety and efficiency of heliports

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
541	558	584	1,683

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 10 Accident Investigation

Objective: *Ensure the effective investigation of, and follow through of recommendations following aviation accidents and incidents, by updating or amending SARPs/Guidance Material*

- Expected Result:**
- Support the prevention and ensure the effective investigation of aircraft accidents and incidents
 - Improved evaluation of flight recorder data for investigations
 - Annex 6, Parts I, II and III — 2011
 - Introduction of the light-weight recording systems and search recovery of flight recorders
 - New SARPs in Annex 6 — 2011
 - Implementation of safety recommendations of global concern
 - Guidelines on definitions — 2010; Safety recommendations on ICAO website — 2013

Projects/Activities:

- | | |
|--|--|
| 1. Evaluation of the use of airborne image recordings of the general cockpit area. | 2. Evaluation of flight recorder data for investigations. |
| 3. Introduction of the light weight recording systems and search for and recovery of flight recorders. | 4. Sharing of safety information in Final Reports. |
| 5. Safety recommendations (SR) addressed to ICAO. | 6. Develop and revise investigation methodology documentation. |
| 7. Implement safety recommendations of global concern. | 8. Implementation of regional accident and incident investigation systems. |
| 9. Develop guidelines for the processing of safety recommendations (SR) in States. | 10. Assistance between States in investigations. |
| 11. Review options for increasing the likelihood of the flight recorders' data being available for investigations. | 12. Assistance to States for implementation of Annex 13 provisions. |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
415	429	451	1,295

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 11 Safety Audit

Objective: *Implement a Continuous Monitoring Approach and supporting activities to determine the safety oversight capability of States and encourage the resolution of identified deficiencies*

Expected Result:

- Improve States' safety oversight capability by identifying deficiencies and encourage their resolution by States (2013)
- Perform intervention strategies under the continuous monitoring approach (CMA) to identify deficiencies and monitor States' level of oversight capability (2011 onwards)
- Identify and manage significant safety concerns (SSCs) resulting from the conduct of CMA intervention strategies (2011 onwards)

Projects/Activities:

1. Perform intervention strategies under the Continuous Monitoring Approach (CMA) to identify deficiencies and monitor States' level of oversight capability.
2. Manage ICAO Coordinated Validation Missions (ICVMs) to confirm progress made by States.
3. Identify and manage Significant Safety Concerns (SSCs) resulting from the conduct of CMA intervention strategies.
4. Develop and maintain the CMA On-line reporting and data management system.
5. Manage and administer the Computer-based training (CBT) on CMA intervention strategies and provide training on CMA to ICAO auditors, including Regional Officers.
6. Establish bilateral; multilateral agreements between ICAO and international organizations on safety data sharing and recognition in the context of CMA.
7. Promote the continued cooperation and participation of Contracting States in USOAP CMA activities through the conduct of seminars and workshops and participation in International fora.
8. Monitor CMA safety oversight results and produce and disseminate on a regular basis and in accordance with Council Decisions, related analyses for ICAO's Representative bodies, Secretariat and international organizations.
9. Maintain public and Contracting States' confidence in programme deliverables by ensuring adherence to programme principles and through the application of consistent and objective criteria and methodology in the conduct of CMA interventions.
10. USOAP missions.

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
3,670	3,861	4,304	11,835

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 12 Civil/Military Cooperation

Objective: *Develop guidance material for Aviation Authorities to optimize the use of global airspace and reducing emissions/greenhouse gases*

Expected Result:

- Facilitate improved cooperation of civil and military aviation authorities (seminars, workshops)
 - Follow-up Global Air Traffic Management Forum on civil/military cooperation (2012)
 - Guidance material on civil/military cooperation (2011)

Projects/Activities:

- | | |
|---|---|
| 1. Follow-up Global Air Traffic Management Forum on civil/military cooperation. | 2. Guidance material on civil/military cooperation. |
|---|---|

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
134	137	142	412

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 13 ATM SARPs

Objective: *Develop with the Aviation Industry and rollout SARPs and Guidance Material to States that introduce Global Air Traffic Flow Management and Collaborative Decision-making*

Expected Result:

- Facilitate the implementation of air traffic flow management and collaborative decision-making resulting in improved demand and capacity balancing
 - Guidance material on air traffic flow management (ATFM) – 2011 (seminars)

Projects/Activities:

1. Improve demand and capacity balancing based on air traffic flow management.	2. Introduce the use of collaborative decision-making process.
3. Introduce the application of service delivery management.	4. Implementation of a yearly data collection on FIR/UIR data for comprehensive efficiency measurement and monitoring analysis.
5. Guidance material on air traffic flow management.	6. Introduce the use of Flight and Flow Information for a Collaborative Environment.

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
15	15	15	45

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 14 Regional Safety Oversight Organizations

Objective: *Develop and revise guidance material, which will allow States with limited resources to maintain acceptable levels of safety oversight and support its implementation*

Expected Result:

- Coordinated and direct assistance to States in strengthening their safety oversight capabilities
- Cooperative arrangements and partnerships for matching donors with projects
- Coordinated assistance to regional safety oversight systems
- Coordinated training to inspectors with the ICAO-endorsed GSI Training Centres

Projects/Activities:

- | | |
|--|--|
| 1. Develop an ICAO Strategic Plan of Action for Regional Cooperation. | 2. Facilitate the establishment of and coordinate assistance to regional safety oversight systems including Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs) and Regional Safety Oversight Organizations (RSOOs). |
| 3. Develop and maintain cooperative arrangements and partnerships in order to support regional groupings. | 4. Revise and update Doc. 9734 B Establishment and Management of a Regional Safety Oversight System. |
| 5. Coordinate and promote the provision of training to inspectors with the ICAO-Endorsed GSI Training Centres network. | 6. Provide ICAO support to States to correct Safety oversight deficiencies. |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
671	692	728	2,091

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 15 Qualified Aviation Professionals

Objective: *Working through an industry task force, develop and rollout a global programme which will ensure that the future demand for professionals is met*

- Expected Result:**
- Implementation of focused programmes to develop a sufficient number of qualified aviation professionals to meet future demand
 - Introduction of the use of a competency –based approach to training and assessment —2010
 - Improved safety, quality and capacity of flight crew training
 - Guidance material — 2011
 - Harmonization of training for Designated Medical Examiners (DMEs)
 - Evaluation of DME training courses — 2013

Projects/Activities:

- | | |
|---|--|
| 1. Identify unnecessary regulatory barriers in the training processes. | 2. Introduction of the use of a competency-based approach to training and assessment. |
| 3. Improve the safety, quality and capacity of flight crew training. | 4. Harmonized and improved training capacity/approach and approval of training organization certification. |
| 5. Competency of MPL holders. | 6. Harmonization of training for Designated Medical Examiners (DMEs). |
| 7. Implementation of a yearly data collection on civil aviation licensed personnel and training capacity. | 8. Support the work of the Next Generation of Aviation Professionals (NGAP) task force. |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
36	38	40	114

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 16 Critical Safety Risk Response

Objective: *Develop and rollout SARPs/Guidance material and/or procedures which address safety-related occurrences of immediate and high aviation safety risks*

- Expected Result:**
- Improved safety of helicopters engaged in emergency medical services (EMS) operations
 - Annex 6 – 2012
 - Harmonized and expeditious implementation of language proficiency requirements
 - Guidance materials – 2011
 - Implementation of revised medical requirements for license holders and applicants
 - Regional seminars and conferences – 2013
 - Implementation of the electronic system for the notification and publication of difference (EFOD)
 - Phased approach for implementation of EFOD – 2011
 - New fuel carriage SARPs and guidance that address safety concerns and improve fuel efficiency
 - Annex 6, Part I – 2011
 - New measures for extended diversion time operations (EDTO) to include aeroplanes with more than two turbine engines
 - Annex 6 and associated guidance materials – 2011
 - Improved safety by providing States and industry with a risk-based approach to managing pilot fatigue
 - Annex 6 and associated guidance material – 2011
 - Improved safety by reducing the abuse of flags of convenience
 - Develop and implement international aircraft information system – 2011
 - Implementation of a yearly data collection on aircraft accidents and serious incidents
 - Data collection - 2011

Projects/Activities:

- | | |
|--|---|
| 1. Improve the safety of helicopters engaged in Emergency Medical Services (EMS) operations. | 2. Implement language proficiency requirements. |
| 3. Implement revised medical requirements for license holders and applicants. | 4. Develop and implement the electronic system for the notification and publication of difference (EFOD). |
| 5. Develop new fuel carriage SARPs and guidance that address safety concerns and improve efficiency. | 6. New measures for Extended Diversion Time Operations (EDTO) to include aeroplanes with more than two turbine engines and to incorporate fire protection requirements. |
| 7. Improve safety by providing States and industry with a risk-based approach to managing pilot fatigue. | 8. Improve safety by reducing the abuse of flags of convenience. |
| 9. Implementation of a yearly data collection on aircraft accidents and serious incidents. | 10. Support the United Nations Aviation Technical Advisory Group (Division of Peace Keeping Operations and World Food Programme). |
| 11. Review SARPS and guidance material to improve the timely and adequate provision of search and rescue services. | 12. Deal with States' complaints and disputes related to operations and personnel licensing issues; general complaints and disputes in general and also with sensitive matters. Coordinate appropriate responses/positions with other Bureaux, as needed and brief Pres/RK. |
| 13. Participate in the Industry Safety Strategy Group. | |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
309	231	243	783

* Regional Office resources are shown in the *Regional Office Section* of the Document.

STRATEGIC OBJECTIVE A: Safety

Programme No. 17 AFI Comprehensive Implementation Programme (ACIP)

Objective: *Coordinate activities, initiatives and implementation strategies of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa*

Expected Result: Improved aviation safety in Africa

Projects/Activities:

- | | |
|---|--|
| 1. Implement the ACIP activities identified by the Council and approved by the Assembly (AFI Plan). | 2. Improve aviation safety in Africa. |
| 3. Address aviation deficiencies in Africa. | 4. Improve leadership and deliver strong Programme management in Africa, resulting in greater accountability in the regions. |
| 5. Develop implementation modalities in the AFI Region. | 6. Conduct seminars and workshops. |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL

* Resources for this programme are shown in the *Regional Office Section* of the Document under the Dakar and Nairobi Offices.

STRATEGIC OBJECTIVE B: Security

Programme No. 18 Security

Objective: *Develop practical countermeasures and guidance material to respond effectively to new and existing threats to civil aviation*

Expected Result: Increase the level of implementation of practical countermeasures to address new and emerging threats to civil aviation

Projects/Activities:

- | | |
|---|---|
| 1. Assess and analyse existing and potential threats to civil aviation with the assistance of the AVSECP Working Group- Annex 17. | 2. Develop practical countermeasures to address new and emerging threats to civil aviation from a risk management-based approach. |
| 3. Update Annex 17 SARPs (Amendment 13) to ensure that AVSEC measures remain effective. | 4. Promote harmonious implementation of SARPs and adoption of effective security processes and concepts. |
| 5. Develop a strategy to assist Contracting States and industry in employing new and innovative security measures including the use of advanced technology. | 6. Collect, analyse and update the database on reports of acts of unlawful interference against civil aviation. |
| 7. Respond to requests for information and guidance from States and industry on security matters. | 8. Organize and provide support for symposia, seminars and workshops concerned with various aviation security, facilitation and MRTD matters. |
| 9. Monitor currency of Annex 17 SARPs in order to address contemporary requirements of States. | 10. Monitor the implementation of Annex 17. |
| 11. Provide expertise and advice on AVSEC matters to the Council, UIC, ATC and various Secretariat entities, as well as external entities. | 12. Enhance, with assistance of AVSECP working groups, application of human factors principles in aviation security (Doc 9808) to ensure that measures and standards are implemented effectively. |
| 13. Assume coordination role for various security-related research and development initiatives under way worldwide with assistance of AVSECP Working Group. | |

Regular Budget Resources 2011-2012-2013			
(in thousands of CAD)			
2011	2012	2013	TOTAL
1,543	1,610	1,671	4,824